

2013-120 AUDIT SCOPE AND OBJECTIVES—California Correctional Health Care Services—Sterilization of Female Inmates

The audit by the California State Auditor will provide independently developed and verified information related to the California Correctional Health Care Services' (CCHCS) protocols and practices regarding sterilization of female inmates and will include, but not be limited to, the following:

1. Review and evaluate the laws, rules, and regulations significant to the audit objectives.
2. Determine what entities are involved in providing medical services to inmates and identify the roles and responsibilities CCHCS and other entities, such as the California Department of Corrections and Rehabilitation, may have in overseeing medical services and sterilization procedures for female inmates.
3. Review and assess policies and procedures used by CCHCS and other entities that may be involved for handling sterilization procedures for female inmates, including informed consent procedures, and determine whether they are consistent with applicable laws and regulations.
 - (a) Identify any changes to the regulations or laws relating to the sterilization of female inmates over the past eight years and determine if CCHCS' or any other oversight entity's policies and procedures reflect such changes.
4. Determine how CCHCS or any other entity monitors to ensure compliance with policies and procedures related to sterilization of female inmates.
5. Identify protocols and practices relating to obtaining the informed consent authorizing the sterilization of female inmates, including any recent changes in the past eight years.
 - (a) Identify any changes to protocols or practices over the past eight years that clarify the circumstances under which a sterilization procedure can be suggested to a female inmate.
6. For the most recent eight-year period, determine the number of sterilization procedures performed each year, and to the extent possible, for each sterilization procedure perform the following:
 - (a) Determine whether the inmate was pregnant, why the procedure was performed, whether the procedure was deemed medically necessary, and whether the process for obtaining approval complied with applicable policies and laws.

- (b) Identify the demographics of each inmate, including economic status, ethnicity, race, number of prison terms, number of pregnancies, and number of child births. Determine whether there are any trends in the data.
 - (c) Determine whether the inmate consented to authorize the procedure and whether such consent was lawfully obtained. Determine when, where, and how the consent was obtained.
 - (d) Determine whether the sterilizations were performed in conjunction with other medical procedures, and if so, identify those other procedures.
 - (e) To the extent possible, determine whether the inmate was informed about the procedure and whether she filed a complaint about the procedure.
- 7. Determine funding sources for the sterilization procedures and whether the expense for such procedures was appropriate and allowable. If not, identify any consequences.
 - 8. Review and assess any other issues that are significant to the policies and procedures of CCHCS or other responsible entities related to the sterilization of female inmates.